

National Aeronautics and  
Space Administration



# Small Business Innovation Research Small Business Technology Transfer

**Fraud, Waste, & Abuse:  
A Program Perspective**

June 16, 2015

# Structure of the Programs



Concept

Infusion or  
Commercialization



## Phase I

- Value \$125K



## Phase II

- General (\$750K)
- Select (\$1.5M)
- Phase II-E
- Phase II-X



## Phase III

- Non-SBIR funding

**Based on foundation of technical and administrative integrity....both matter!**

# Administrative Integrity



## Administrative proposal evaluations based on:

- Rules and regulations established by Congress, SBA, and the Program
  - Eligibility (Citizenship, firm size, firm ownership, location of work, etc.)
  - Subcontract limitations (disclosures, % of work, location, affiliation with firm)
  - Principal investigator employment
  - Use of Government facilities
  - Duplication of work
  - Adherence to solicitation for proposals

**Administrative rules & reg's determine firm eligibility to participate....and participate fairly**

# Technical Integrity



Program technically evaluates proposals based on:

- Innovativeness of technical proposal
- Originality of technical proposal (no duplication of effort)
- Technical feasibility of work
- Team of key personnel identified and their qualifications
- Facilities / equipment available to complete work

Technical excellence is required for eligible firms to win an award...



# Certifications



## Certifications: Understand them & be truthful

- Affirmation and acceptance of the administrative and technical rules and regulations
- NASA awardees certify when submitting proposals as well as billing/invoicing
- They are considered representations to the Government
- Agencies actively work with Inspector General agents to identify and investigate Fraud (False Claims), Waste, and Abuse

**False certifications are considered false claims  
and are subject to administrative,  
civil and/or criminal actions**

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STARTING VIDEO

# Tips to Avoid Pitfalls



We want eligible & qualified firms to succeed!

- *Notify and negotiate the Award Contracting Officer (CO) of ALL changes – only they can authorize changes*
- Start the proposal submission process early and ask for help when problems or questions arise – each agency has a help desk to call!
- Firms may want to consider local training in gov't grants/contracts
- Honestly represent your firm, its abilities, and the work in the certifications, proposals, and negotiations